

**USDA Good Agricultural Practices & Good Handling Practices
AUDIT Matrix for Suppliers & Requested by Client**

Person(s) Interviewed: _____

Firm Name: _____

Audit Site(s): _____

Main Address: _____

State: _____ Zip: _____ Telephone No: _____

Fax: _____ E-mail: _____

Auditor(s): _____

Date & Time Arrive: _____ Date & Time Departed: _____

Travel Time: _____ Code: _____

Audit Scope:

General Questions (All audits must begin with and pass this portion)

- | | |
|---|--------------------------|
| Part 1 – Farm Review..... | <input type="checkbox"/> |
| Part 2 - Field Harvest and Field Packing Activities | <input type="checkbox"/> |
| Part 3 - House Packing Facility | <input type="checkbox"/> |
| Part 4 – Storage and Transportation | <input type="checkbox"/> |
| Part 5 – Traceback | <input type="checkbox"/> |
| Part 6 – Wholesale Distribution Center/Terminal Warehouses..... | <input type="checkbox"/> |
| Part 6-A – Traceback..... | <input type="checkbox"/> |
| Part 7 – Plant Security Procedures..... | <input type="checkbox"/> |

Did the auditee participate in GAP/GHP training?

Yes ☐ No ☐

Is there a map that accurately represents the farm operations?

Yes ☐ No ☐

Legal Description/GPS/Lat.-Long. of Location: _____

Is there a floor plan of the packing house facility indicating flow of product, storage areas, cull areas, employee break rooms, restrooms, offices?

Yes ☐ No ☐

Does the company have more than one packing facility?

Yes ☐ No ☐

Are all crop production areas located on this audit site?

Yes ☐ No ☐

Is any product commingled prior to packing?

Yes ☐ No ☐

Does the company have a copy of the Client's Audit Continuous Release form?

Yes ☐ No ☐

Total acres farmed (Owned, leased/rented, contracted, consigned): _____

Products: _____

Conditions Under Which an Automatic “Unsatisfactory” Will be Assessed

- An immediate food safety risk is present when produce is grown, processed, packed or held under conditions that promote or cause the produce to become contaminated.
- The presence or evidence of rodents, an excessive amount of insects or other pests in the produce during packing, processing or storage.
- Observation of employee practices (Personal or hygienic) that jeopardize or may jeopardize the safety of the produce.

General Questions

Implementation of a Food Safety Program

(Place the point value in the proper category)

Questions		Points	YES	NO	N/A	Doc
1	A documented food safety program that incorporates GAP and/or GHP has been implemented.	15				D
2	The Operation has designated someone to implement and oversee an established food safety program. Name _____	15				D

Worker Health & Hygiene

Questions		Points	YES	NO	N/A	Doc
3	Potable water is available to all workers.	10				D
4	Training on proper sanitation and hygiene practices is provided to all staff.	15				D
5	Readily understandable signs are posted to instruct employees to wash their hands before beginning or returning to work.	10				
6	Employees are required to wash their hands before beginning or returning to work.	15				D
7	All employees and all visitors to the location are required to follow proper sanitation and hygiene practices.	15				D
8	Employees and visitors are following good hygiene/sanitation practices.	10				
9	All toilet/restroom facilities are clean and properly supplied with single use towels, toilet paper, and hand soap or anti-bacterial soap and potable water for hand washing.	15				

Questions		Points	YES	NO	N/A	Doc
10	Smoking and eating are confined to designated areas separate from where product is handled.	10				
11	Workers with diarrheal disease or symptoms of other infectious disease are prohibited from handling fresh produce.	15				D
12	There is a policy describing procedures which specify handling/disposition of produce or food contact surfaces that have come into contact with blood or other body fluids.	15				D
13	Workers are instructed to seek prompt treatment with clean first aid supplies for cuts, abrasions and other injuries.	5				D
14	Company personnel demonstrate knowledge of proper use of pre-harvest and/or post harvest application materials.	10				

Comments:

Total points for GENERAL QUESTIONS _____

Total possible = 175 Client Passing Score (90% of Adjusted Total Possible)

Less Justified “N/A: _____

Adjusted Total Possible: _____ Facility Percentage: _____

USDA Passing Score (70% of Adjusted Total Possible): _____

This program is intended to assess a participant’s efforts to minimize the risk of contamination of fresh fruits, vegetables, nuts and miscellaneous commodities by microbial pathogens.

Part 1 – Farm Review

Water Usage

(15) What is the source of irrigation water (Pond, Stream, Well, Municipal, Other...Specify)?

(16) How are crops directly irrigated (Flood, Drip, Sprinkler, Other....Specify)?

Questions		Points	YES	NO	N/A	Doc
17	Water quality is known to be adequate for the crop irrigation method and/or chemical application.	15				D
18	If necessary, steps are taken to protect irrigation water from potential contamination.	15				

Sewage Treatment

Questions		Points	YES	NO	N/A	Doc
19	The farm sewage treatment system is functioning properly and there is no evidence of leaking or runoff.	15				
20	There is no municipal/commercial sewage treatment facility adjacent to the farm.	10				

Animals/Wildlife/Livestock

Questions		Points	YES	NO	N/A	Doc
21	Crop production areas are not located near or adjacent to dairy or livestock production facilities.	10				
22	Manure lagoons are maintained to prevent leaking or overflowing.	10				
23	Measures are taken to restrict access of livestock to the source or delivery system of crop irrigation water.	5				
24	Measures are taken to reduce the opportunity for wild or domestic animals to enter crop production areas.	5				

Manure and Municipal Biosolids

Questions		Points	YES	NO	N/A	Doc
25	Raw manure is not used as a soil amendment.	10				
26	When raw manure is applied, it is incorporated at least two weeks prior to planting or a minimum of 120 days prior to harvest.	10				D

Questions		Points	YES	NO	N/A	Doc
27	Manure or biosolids are properly treated, composted or exposed to environmental conditions that would lower the expected level of pathogens.	10				D
28	Manure or biosolids are properly stored prior to use.	10				
29	Effective measures are taken to minimize recontamination of treated manure or biosolids.	10				
30	If composted manure or treated biosolids are used, analysis reports are available.	5				D

Soils

Questions		Points	YES	NO	N/A	Doc
31	Previous land use history indicates that there is a minimum risk of produce contamination.	5				
32	When previous land use history indicates a possibility of produce contamination, soils have been tested for contaminants and land use is commensurate with test results.	5				D

Comments:

Total Points for PART 1 _____

Total Possible: 150 **Client Passing Score (80% of Adjusted Total Possible)**

Less Justified “N/A: _____

Adjusted Total Possible: _____ **Facility Percentage:** _____

USDA Passing Score (70% of Adjusted Total Possible): _____

This program is intended to assess a participant’s efforts to minimize the risk of contamination of fresh fruits, vegetables, nuts and miscellaneous commodities by microbial pathogens.

Part 2 - Field Harvest and Field Packing Activities

Worker Sanitation and Hygiene

Questions		Points	YES	NO	N/A	Doc
33	The number, condition, and placement of field sanitation units comply with applicable state and/or federal regulations.	10				
34	Field sanitation units are cleaned and serviced on a scheduled basis and at a location that minimizes the potential risk for product contamination.	10				D
35	Field sanitation units are directly accessible for servicing and directly accessible in the event of a spill or major leak.	10				
36	In the event of a major spill or leak of field sanitation units, a response plan is in place.	5				D
37	Field sanitation units are properly supplied with single use towels, toilet paper, and hand soap or anti-bacterial soap and potable water for hand washing.	10				

Field Harvesting and Transportation

Questions		Points	YES	NO	N/A	Doc
38	Tables, baskets, totes and other harvesting containers are cleaned and/or sanitized prior to use.	5				D
39	Damaged or soiled containers are properly repaired or disposed of.	5				
40	Harvesting equipment and/or machinery which comes into contact with product is kept as clean as practicable.	5				D
41	Farm workers are instructed not to use harvesting containers, totes, etc. for carrying or storing non-produce items.	5				
42	Water applied to harvested product is potable.	10				D
43	Efforts have been made to remove excessive dirt and mud from product and/or containers before packing.	5				
44	Transportation equipment used to move product from field to packing operation or storage and which comes into contact with product is clean.	10				D

Comments

[illegible]

Total points earned Part 2 _____

Total possible = 90

Client Passing Score (80% of Adjusted Total Possible)

Less Justified “N/A:

Adjusted Total Possible: _____ Facility Percentage: _____

USDA Passing Score (70% of Adjusted Total Possible): _____

This program is intended to assess a participant's efforts to minimize the risk of contamination of fresh fruits, vegetables, nuts and miscellaneous commodities by microbial pathogens.

Part 3 - HOUSE PACKING FACILITY

Receiving

Questions		Points	YES	NO	N/A	Doc
45	Product is covered during transportation and staging prior to unloading.	5				
46	Prior to packing, product is properly stored and/or handled in order to reduce possible contamination.	5				

Washing/Packing Line

Questions		Points	YES	NO	N/A	Doc
47	Source water used in the packing operation is potable.	10				D
48	Processing water is sufficiently treated to reduce microbial contamination.	10				D
49	Water-contact surfaces, such as dump tanks, flumes, wash tanks and hydro coolers, are cleaned and/or sanitized on a scheduled basis.	10				D
50	Water treatment (Strength levels and pH) and exposure time is monitored and is appropriate for product.	10				D
51	Food contact surfaces are clean and in good condition.	10				
52	Product flow zones are protected from sources of contamination.	10				
53	The water used for cooling/ice is potable.	10				D
54	Manufacturing, storage and transportation facilities used in making and delivering ice used for cooling the product have been sanitized.	10				D

Worker Health and Personal Hygiene

Questions		Points	YES	NO	N/A	Doc
55	Employee facilities (locker rooms, lunch and break areas, etc.) are clean and located away from packing area.	10				
56	Employees and visitors follow a written policy regarding the use of hair nets/ beard nets in the production area.	5				D
57	Employees and visitors follow a written policy regarding the wearing of jewelry in the production area.	5				D

Packinghouse General Housekeeping

Questions		Points	YES	NO	N/A	Doc
58	Only food grade approved and labeled lubricants are used in the packing equipment/machinery.	10				D
59	Chemicals not approved for use on product are stored and segregated away from packing area.	10				
60	The plant grounds are reasonably free of litter and debris.	5				
61	The plant grounds are reasonably free of standing water.	5				
62	Outside garbage receptacles/dumpsters are closed or are located away from packing facility entrances and the area around such sites is reasonably clean.	5				
63	Packing facilities are enclosed.	5				
64	The packing facility interior is clean and maintained in an orderly manner.	5				
65	Floor drains appear to be free of obstructions.	5				
66	Pipes, ducts, fans and ceilings which are over food handling operations are clean.	5				
67	Glass materials above product flow zones are contained in case of breakage.	10				
68	Possible wastewater spillage is prevented from contaminating any food handling area by barriers, drains or a sufficient distance.	5				
69	Measures are taken to exclude animals or pests from packing and storage facilities.	10				
70	There is an established pest/rodent control program for the facility.	10				D
71	Service reports for the pest/rodent control program are available for review.	5				D
72	Interior walls, floors and ceilings are well maintained and are free of major cracks and crevices.	5				

COMMENTS:

Total points earned Part 3 _____

Total possible = 210 **Client Passing Score (80% of Adjusted Total Possible)**

Less Justified “N/A: _____

Adjusted Total Possible: _____ **Facility Percentage:** _____

USDA Passing Score (70% of Adjusted Total Possible): _____

This program is intended to assess a participant’s efforts to minimize the risk of contamination of fresh fruits, vegetables, nuts and miscellaneous commodities by microbial pathogens.

Part 4 – STORAGE AND TRANSPORTATION

Containers & Pallets

Questions		Points	YES	NO	N/A	Doc
73	Packing containers are properly stored and sufficiently sealed to be protected from contamination (birds, rodents and other pests, etc.)	10				
74	Pallets and other containers are clean, in good condition and do not contribute foreign material into the product.	5				

Pest Control

Questions		Points	YES	NO	N/A	Doc
75	Measures are taken to exclude animals or pests from packing and storage facilities	10				
76	There is an established pest control program for the facility.	10				D
77	Service reports for the pest control program are available for review.	5				D
78	Interior walls, floors and ceilings are well maintained and are free of major cracks and crevices.	5				

Ice

Questions		Points	YES	NO	N/A	Doc
79	The water used for cooling/ice is potable.	10				D
80	Manufacturing, storage and transportation facilities used in making and delivering ice used for cooling the product have been sanitized.	10				D

Storage/Temperature Control

Questions		Points	YES	NO	N/A	Doc
81	The storage facility is clean and maintained in an orderly manner.	5				
82	Refrigeration system is working properly	5				
83	Storage temperature logs are maintained.	5				D
84	Thermometer(s) are checked for accuracy and records are available.	5				D

Transportation/Loading

Questions		Points	YES	NO	N/A	Doc
85	Prior to the loading process, conveyances (Trailers) are required to be clean, in good physical condition, free from disagreeable odors, from obvious dirt and/or debris and capable of maintaining specified temperature.	10				D
86	Produce items are not loaded with potentially contaminating products.	5				D
87	Proper transportation temperatures are required and printed on manifests in order to ensure the quality and safety of product.	10				D
88	Trucks and transportation conveyances are loaded so minimal damage to product is caused.	5				D

COMMENTS:

Total Points Part 4 _____

Total possible = 115

Client Passing Score (80% of Adjusted Total Possible)

Less Justified "N/A: _____

Adjusted Total Possible: _____ **Facility Percentage:** _____

USDA Passing Score (70% of Adjusted Total Possible): _____

This program is intended to assess a participant's efforts to minimize the risk of contamination of fresh fruits, vegetables, nuts and miscellaneous commodities by microbial pathogens.

Part 5 - Traceback

Traceback

Questions		Points	YES	NO	N/A	Doc
89	A documented traceback program has been established.	10				D
90	Finished product is traceable to the packinghouse.	10				
91	Finished product is traceable to a group of growers.	10				
92	Finished product is traceable to the specific grower.	10				
93	Finished product is traceable to a group of orchards or fields.	10				
94	Finished product is traceable to the specific orchard or field.	10				
95	Finished product is traceable to a group of harvest dates.	10				
96	Finished product is traceable to a specific harvest date.	10				
97	Finished product is identified with a packing date.	10				
98	The operation has practiced a "mock recall" which was proven to be effective.	10				D

COMMENTS:

Total Points Part 5 _____

Total possible = 100 Client Passing Score (90% of Adjusted Total Possible)

Less Justified "N/A: _____

Adjusted Total Possible: _____ **Facility Percentage:** _____

USDA Passing Score (70% of Adjusted Total Possible): _____

This program is intended to assess a participant's efforts to minimize the risk of contamination of fresh fruits, vegetables, nuts and miscellaneous commodities by microbial pathogens.

Part 6 – Wholesale Distribution Center/Terminal Warehouses

Receiving

Questions		Points	Yes	NO	N/A	Doc
99	All companies that supply fresh produce are required to have passed a third party audit verification of GAP and/or GHP.	5				D
100	Conveyances are required to be clean, in good physical condition and free from obvious objectionable odors, dirt and/or debris at time of unloading.	10				D
101	Company does not allow produce items to be loaded with potentially contaminating products.	5				D
102	Refrigerated commodities are monitored for temperatures at time of receiving.	5				D

Storage Facility/Temperature Control

Questions		Points	YES	NO	N/A	Doc
103	The facility is clean and maintained in an orderly manner.	5				
104	Employee facilities (locker rooms, lunch and break areas, etc.) are clean and located away from storage and repacking/reconditioning area.	10				
105	Refrigerated rooms are monitored for temperature and logs are maintained.	5				D
106	Thermometer(s) are checked for accuracy and records are available.	5				D
107	Refrigeration system condensation does not come in contact with produce.	5				
108	Refrigeration equipment (condensers, fans, etc.) is cleaned on a scheduled basis.	10				D
109	Iced product does not drip on pallets of produce stored below.	10				
110	The water used for cooling/ice is potable.	10				D
111	Manufacturing, storage and transportation facilities used in making and delivering ice used for cooling the product have been sanitized.	10				D
112	A policy has been established to recondition or dispose of product which has come in contact with the floor or other potentially contaminating surfaces.	15				D
113	Product flow zones are protected from sources of contamination.	10				
114	Glass materials above product flow zones are contained in case of breakage.	10				

Questions		Points	YES	NO	N/A	Doc
115	The grounds are reasonably free of litter and debris.	5				
116	The grounds are reasonably free of standing water.	5				
117	Outside garbage receptacles/dumpsters are closed or are located away from facility entrances and the area around such sites is reasonably clean.	5				
118	The facility is enclosed.	5				
119	Floor drains appear to be free of obstructions.	5				
120	Pipes, ducts, fans and ceilings in the facility are reasonably clean.	5				
121	Possible wastewater spillage is prevented from contaminating any food storage or handling area by barriers, drains or a sufficient distance.	10				

Pest Control

Questions		Points	YES	NO	N/A	Doc
122	Measures are taken to exclude animals or pests from the facility.	10				
123	There is an established pest control program for the facility.	10				D
124	Service reports for the pest control program are available for review.	5				D
125	Interior walls, floors and ceilings are well maintained and free of major cracks and crevices.	5				

Repacking/Reconditioning

(If the facility does not repack and/or recondition product, #126 through #140 shall be NOT APPLICABLE.)

Questions		Points	YES	NO	N/A	Doc
126	Repacking/Reconditioning processes are confined to an established location in the facility.	5				
127	Food contact surfaces are in good condition; cleaned and/or sanitized prior to use and cleaning logs are maintained.	15				D
128	Produce is washed before being repacked.	5				
129	Source water used in the repacking operation is potable.	10				D
130	Processing water is sufficiently treated to reduce microbial contamination of the product.	10				D
131	Water treatment (strength levels and pH) and exposure time is monitored and is appropriate for product.	10				D

Questions		Points	YES	NO	N/A	Doc
132	Any ice used for cooling produce is manufactured, transported and stored under sanitary conditions.	10				D
133	Water used for chilling and/or to make ice is potable.	10				D
134	Only food grade approved and labeled lubricants are used in the repacking equipment/machinery.	10				D
135	Chemicals not approved for use on product are stored and segregated away from repacking area.	10				
136	Only new containers are used for product repacking.	10				
137	Pallets and other containers are clean and in good condition.	5				
138	Employees and visitors are required to follow a written policy regarding the use of hair nets/ beard nets.	5				D
139	Employees and visitors follow a written policy regarding the wearing of jewelry.	5				D
140	Packing containers are properly stored and protected from contamination (birds, rodents, and other pests, etc.)	10				

Shipping/Transportation

Questions		Points	YES	NO	N/A	Doc
141	Prior to loading, conveyances are required to be clean.	10				D
142	Produce items are not loaded with potentially contaminating products.	10				D
143	Company has a written policy for the transporters to maintain appropriate temperatures during transit.	5				D

COMMENTS:

Total Points Part 6 _____

Total possible = **355** **Client Passing Score (80% of Adjusted Total Possible)**

Less Justified “N/A: _____

Adjusted Total Possible: _____ **Facility Percentage:** _____

USDA Passing Score (70% of Adjusted Total Possible): _____

This program is intended to assess a participant’s efforts to minimize the risk of contamination of fresh fruits, vegetables, nuts and miscellaneous commodities by microbial pathogens

Part 6-A Traceback

Questions		Points	YES	NO	N/A	Doc
144	A documented traceback program has been established.	10				D
145	Received product is traceable to the supplier.	10				
146	Shipped product is traceable to the Wholesale Distribution Center/Terminal Warehouse facility from where it was shipped.	10				
147	Product shipped is traceable to the repacker's shipping date.	10				
148	Repacked product can be traced to original product identification.	10				
149	The facility has performed a successful practice recall.	10				D

COMMENTS:

Total Points Part 6A _____

Total possible = 60 **Client Passing Score (90% of Adjusted Total Possible)**

Less Justified "N/A": _____

Adjusted Total Possible: _____ **Facility Percentage:** _____

USDA Passing Score (70% of Adjusted Total Possible): _____

This program is intended to assess a participant's efforts to minimize the risk of contamination of fresh fruits, vegetables, nuts and miscellaneous commodities by microbial pathogens.

Part 7 – Plant Security Procedures.

Secure Employee/Visitor Procedures

Scoring Key:

Satisfactory (S): The auditee practices are considered to be satisfactory and all points are given for the question.

Need Improvement (N): The auditee has procedures or measures in place which need improvement to be considered satisfactory and half the amount of points is given.

Unsatisfactory (U): The auditee procedures or measures are not or would not be effective; or the company does not have a procedure or measure in place and no points are given.

Questions		Point Value	(S)	(N)	(U)	N/A
	Has your company conducted a review of your facilities procedures, physical facility, processes, shipping and distribution systems and identified and listed all relevant areas where your company may be vulnerable to a potential sabotage or terrorist attack. Has your company identified and outlined the control measures for each of these areas?					
	If no, deduct all points from this section (Questions 1-18). If yes, has your company implemented procedures to ensure adequate security measures for:					
1	Restricting access to the facility, ingredients and/or Restricted access to the facility, ingredients and/or raw materials, in-process products, storage areas and chemical storage areas.	3.25				
2	Are procedures and physical barriers (e.g., locks, keyed access by authorized personnel only) in place to restrict access to hazardous compounds such as nitrite, cleaning and sanitizing chemicals, pesticides, etc.?	3.25				
3	Implementing routine inspections of facilities to identify materials that could compromise plant security.	3.25				
4	Implementing procedures to readily identify employees with specific access privileges.	3.25				
5	Implementing a documented program for pre-employment screening (full time and temporary) to the extent that is practical for the individual category under consideration. At a minimum, the checks should include work references, addresses, phone numbers of new employees, and verification of immigration status	3.25				
6	Implementing a documented training program for employees on security measures.	3.25				

7	Restricting access to food handling and storage areas (e.g., accompanying visitors, unless they are otherwise specifically authorized).	3.25				
8	Implemented and documented program to protect and back-up computer systems and documentation critical to food safety.	2.25				

Questions		Point Value	(S)	(N)	(U)	N/A
	Are procedures in place to ensure the composition and integrity of all ingredients, raw materials and packaging materials in each facility by ensuring that:					
9	Supply sources are approved	3.75				
10	Are all incoming raw materials and packaging materials inspected for signs of tampering?	3.75				
	Are procedures in place to ensure the integrity and security of the water supply?					
11	Are procedures in place to ensure that water systems and trucks are equipped with back flow prevention?	2.00				
12	Is there restricted access to the water system, with only designated employees allowed in the area.	2.00				
13	Is there clear identification of potable and non-potable water supply?	2.00				
14	Are tamper evident connectors and valves in place?	1.50				
15	If off-site facilities (e.g., frozen and refrigerated cold storage facilities, controlled atmosphere rooms) are used for holding products or ingredients prior to processing, are they configured and monitored to handle and hold products securely?	2.50				
	Has a Risk Management Program been implemented that includes the following:					
16	Has a Crisis management team been established?	2.00				
17	Written action plan to be followed in the event of a tampering or terrorist activity or any other type of emergency.	2.00				
18	Emergency action plan includes a procedure to perform trace back and suppliers trace out, and includes lists with 24-hour contact information.	2.00				
19	Annual mock recalls conducted by crisis management team to ensure that plan works and then follow through with any necessary adjustments, employee training or equipment purchases.	1.50				

***Note: the client may determine that the audit results are acceptable (without meeting the 80% criteria, depending on the documentation provided as to why a question was answered yes or no. the client may also reject an audit (which meets the 80% criteria) on a question by question basis.**

Total Points for General Questions and Parts1-7 (All Portions Audited).

Total possible = 1305

Less Justified "N/A" _____

Facility Score _____

Adjusted Total _____

Facility Percentage _____